

**SAMPLE**

# Performance and Development Plan

**SAMPLE****Purpose of Appraisal:**

- ☐ Annual Review  
☐ Trial Service Review  
☐ Probationary Review  
☐ Other:

**Employee's Name:** (Last, First, MI)

Olsen, Beth

**Position Title:**

Office Assistant

**Identification Number:****Agency:**

Auditor

**Organizational Unit:**

Local Audit Services

**Evaluator's Name:**

Jack Johnson

**Performance Period:** From July 2004 To July 2005**Position Description Updated:** ☒**Date of Preview Session:** July 12, 2005**Position Linkage with Organizational Mission and Strategic Plan:**

*What is the organization's mission, and how do the duties and responsibilities of this position link or contribute to the achievement of the mission, goals, and objectives of the organization? Provide brief summary.*

The mission of the State Auditor's Office is to independently serve the citizens of Washington by promoting accountability, fiscal integrity and openness in state and local government.

This position supports that mission by providing the sole secretarial, clerical and general office support to a local audit manager, 3 assistant audit managers, and 11 other audit staff. This support assists the staff to conduct efficient and effective audits of all local governments in a four county area

**Part 1: Performance Expectations**

Based on the position's major responsibilities, outline the key results and competencies expected of the employee during this performance period. Limit the list to those that are key.

**Key Results Expected**

*What are the most important objectives, outcomes, and/or special assignments to accomplish in order to be successful during this time period?*

1. Information and Resources - Ensure that documents, electronic information, supplies and other resources are available and easily accessible for all staff. This is accomplished through: maintenance of an easy to use filing system (hard copy and electronic); timely filing of documents; maintenance of the team library; management of the team supplies inventory, including timely ordering of supplies. Develop an electronic inventory of audit files by January 31, 2005. This inventory should allow audit staff to determine the previous audit's areas of focus without pulling the hard-copy records.
2. Audit Support - Provide support to staff in the administrative and routine areas of audits so they may focus on the more complex areas. This is accomplished through many tasks, including: setting up audits in TeamMate at least three weeks prior to planned start of field work; creating and mailing confirmation letters and other routine correspondence within reasonable timeframes provided by audit staff; archive audits in TeamMate within two weeks of audit report release; and copying various documents and reports.
3. Audit Monitoring - Ensure Audit Manager is provided accurate and complete information regarding audit budgets, progress, and assignments on a weekly basis. This is accomplished through: maintenance of XYZ database; verifying accuracy of TABS report information; collecting progress information from audit staff; and producing ABC report every Monday.
4. Staff Monitoring - Ensure Audit Manager is provided accurate and complete information regarding staff locations, schedules, leave use and billing in a timely manner. This is accomplished through: confirming staff location information on an on-going basis and updating the location report every Monday; checking staff leave slips against staff schedules; checking staff leave slips against billing summaries; verifying the accuracy and completeness of billing summaries.

### **Key Competencies Expected**

*What are the most important competencies that the employee should demonstrate in order to be successful?*

1. **Accountability** - Accepts personal responsibility for the quality and timeliness of her work. Believes that the results achieved directly result from her personal decisions and actions. Acknowledges and corrects mistakes. Doesn't make excuses for errors or problems.
2. **Teamwork** - Fulfills commitments to other team members. Promotes a friendly climate, good morale, and cooperation among team members. Puts team success ahead of individual success. Makes sure that the practical needs of the team are met. Protects and promotes the group's reputation with outsiders. Takes charge when it is necessary to facilitate an action or decision. Creates a feeling of belonging on the team.
3. **Adaptability/Flexibility** - Meets changing conditions and situations in work responsibilities. Accepts constructive criticism and suggestions and uses them to advantage. Deals with anger, frustration and disappointment in a mature manner. Maintains objectivity in conflict situations. Seeks solutions acceptable to all.
4. **Interpersonal Skills** - Interacts with teammates, clients, and others in a positive manner. Demonstrates understanding that individuals have different perspectives and communication styles. Practices active listening. Is open and honest. Treats others with respect, kindness and consideration.
5. **Productivity** - Produces quality, desired results in an efficient (input per output) manner. Manages resources efficiently.

### **Part 2: Training & Development Needs/Opportunities**

*What training and development needs and opportunities should the employee focus on during this performance period?*

Attend Beginning and Intermediate Access training to assist you in the electronic audit file inventory project identified in part 2A1. Work with the IT development manager to be assigned short Access database development tasks.

Shadow an auditor at 75% time from beginning to completion of an 80-hour audit. Participate in the planning, entrance conference, on-site audit work, exit conference, etc. This experience should help provide comprehensive understanding of the entire audit process.

Serve as the team representative to the time and billing system (TABS) workgroup. Provide workgroup status updates at each team meeting.

Become the team leave rules expert through in-depth review of the rules, tools, and forms, and meetings with SAO HR staff. Provide a presentation to the team at our fall retreat.

### **Part 3: Organizational Support**

Part 3 is optional and to be completed only by the employee, at the beginning of the performance period.

*What suggestions do you have as to how your supervisor, co-workers, and/or agency management can better support you in your present job and future career goals?*

I would like a short meeting with my supervisor each week to review weekly "to do's" and projects, and to understand priorities for the coming week.

I would like to perform more actual audit work - low level of course.

I would like the agency to approve some tuition reimbursement for college accounting courses.

## Acknowledgement of Performance Plan

The signatures below indicate that the supervisor and employee have discussed the performance expectations, and training and development needs outlined at the beginning of the performance period.

**Evaluator's Signature** Jack Johnson

**Date** June 20, 2004

**Employee's Signature** Beth Olsen

**Date** June 21, 2004

### Part 4: Interim Reviews (Optional)

Part 4 is an optional section that may be used during the course of the performance period to adjust performance expectations if circumstances change, and/or to document interim feedback sessions.

Sept 2004 (Quarterly Update): No update.

Dec 2004 (Quarterly Update): Intermediate Access training can not be scheduled until mid-January 2005. Deadline for electronic audit inventory moved to March 15, 2005.

March 2005 Quarterly Update: Requirement for archiving audits to TeamMate has been changed from two weeks to one week, effective April 1, 2005, as a result of change in agency policy.

### Part 5: Performance Feedback

Provide a narrative assessment of the employee's performance in relation to the Key Results and Competencies Expected that were outlined in Part 1. The assessment must be based on performance observed or verified.

#### Key Results Assessment

*To what degree did the employee accomplish the expected results and how well were they done?*

1. Information and Resources - Beth has developed and maintains filing systems that are easy for all staff to understand and use. Many team members have expressed to Beth, and to me, their great appreciation for Beth's approach to information storage and retrieval. I have not received any complaints from staff who were unable to get the information they needed in a timely manner. Beth developed and presented to me an electronic inventory of audit files. She developed this system in Access (as I requested) and delivered it to me two weeks before the deadline I had established. This new system has been a hit with the audit staff. Most estimates are that they have been able to save 2-4 hours per audit because they can zone in on the correct areas of an audit right away. During the evaluation period, Beth very effectively managed the team's supplies inventory. Her regular review of the inventory and polling of needs by staff have helped keep all team members sufficiently supplied and satisfied. No complaints received.
2. Audit Support - Beth has consistently met the deadlines for TeamMate set-up and archival during this period. A recent archival report showed that our team has one of the highest compliance rates with the new "1-week rule" - thanks to Beth's diligence. My informal survey of the team audit staff reveals that Beth regularly provides them excellent customer service in the audit support area. Staff admitted that they sometimes ask Beth for help with some pretty tight timelines. They said that she always comes through for them. They also commented on her accuracy, which I have observed as well. Whether the instructions are verbal or written, Beth generally gets the job right the first time.
3. Audit Monitoring - Beth has consistently provided me ABC report every Monday during the evaluation period. She suggested and implemented several format changes that have made the report easier to use. In November and December, I found a number of errors that resulted from a lack of her detailed review of the TABS report information. Beth and I talked about these problems, and I have not seen any errors of this nature since.
4. Staff Monitoring - Beth has consistently provided me accurate and timely reports and other information regarding staff location, their schedules, leave use and billing. She has developed two reports to convey some of this information in an easy-to-use format. Our team regularly receives recognition for having the fewest time reporting errors.

## Key Competencies Assessment

*How well (or how frequently) did the employee demonstrate the behaviors, skills, and knowledge expected?*

1. **Accountability** - Beth takes full responsibility for her work. Over the evaluation period, she consistently met her deadlines and performed all expected tasks. When her work contained errors, she never offered excuses, but set out to quickly resolve the problem and produce a corrected product. As noted in Section 6A, there were several examples of her initiative and innovation in regards to her position's duties. I see these as strong indicators of her ownership in her job.
2. **Teamwork** - The nature of Beth's job is to facilitate teamwork, as she provides the sole clerical and administrative support to 15 staff members. She demonstrates a positive attitude about her role as support person, consistently providing cheerful assistance whenever we need it, and even when we don't know we need it. She regularly checks in with all staff to see if there is anything she can do to help them. She is friendly to all staff, often making sure that everyone receives a "hello" in the morning. Beth appointed herself "Birthday Monitor", and makes sure everyone is recognized with a card signed by all team members on their special day.
3. **Adaptability/ Flexibility** - Beth directly supports a large staff, each often working on two or more audit jobs at one time, in various stages of completion. One constant of Beth's job is that she rarely knows the amount and type of support that will be needed by each staff member on any given day. Beth manages this uncertainty very well, adjusting her priorities when necessary. She typically can do this without my review, but does turn to me for guidance when appropriate. She has also shown herself to be flexible when staff requests modifications to a standard process, document, etc. A great example of this was when the auditor conducting the City of Olympia audit decided to totally revise the confirmation letter process and timing. He gave Beth some general guidance, and she made all the necessary changes - very efficiently and with no disruption to the audit.
4. **Interpersonal Skills** - We have a wide range of personalities and outlooks on this team. I've observed Beth in positive conversations with all members of the team. Several team members have commented to me about how considerate and polite Beth is. During this evaluation period, five clients specifically mentioned their positive interactions with Beth in their written customer survey responses.
5. **Productivity** - Beth is a very productive employee. She works quickly to complete her assignments, often before deadlines. Her work is consistently accurate and high quality.

Other Relevant Information: (optional)

In January, Beth was awarded a letter of recognition and a special lunch out by the team for her outstanding support services.

## Comments and Signatures

This report is based on my best judgment.

**Evaluator's Signature** Jack Johnson

**Date** 7/15/05

This report has been discussed with me.

**Employee's Signature** Beth Olsen

**Date** 7/17/05

Comments:

I have reviewed this report and, in my judgment, the process has been properly followed. In addition, the following comments are offered concerning the employee's performance.

**Reviewer's Signature** Bill Bellows

**Title** Audit Manager

**Date** 7/18/05

Comments:

**NOTE:** Once the performance evaluation is completed and signed by all parties, it is the Evaluator's responsibility to provide a copy to the employee and to ensure that the original is placed in the employee's personnel file.